

ATTACHMENT D

UPIN EXCEPTION CODES

Rejections -- The Registry can accept only records which meet record layout requirements and specifications. Records which do not meet the requirements are rejected and returned when any of the following conditions exist:

- Records are not readable by the Registry computers;
- Incorrect record code;
- Incorrect or missing M+CO H number (with "9 " in place of "H ");
- Invalid physician/health care practitioner/group practice status code;
- Alpha character in numeric field;
- Missing date of birth, medical school code, medical school year graduated, State license/registration number, or Social Security number; and
- 9 digit zip code not included.

An entire transmission is rejected if more than 10 percent of the records contain the above errors, or:

- A transmission format violation exists, e.g., no trailer record; or
- Trailer record count does not equal number of records.

If less than 10 percent contain errors, the transmission is accepted, but the erroneous records are rejected.

Exception code "99 " is recorded on all rejected records in Field 37. If the entire transmission is rejected, no specific exception code is assigned. The Registry does not maintain any suspense or pending files for records that are rejected during pre-edit processing.

Correct all rejected records prior to resubmission.

Exceptions -- Minimum data requirements establish the basic data set needed for the UPIN record at the Registry. Records that contain acceptable data in all required fields, but cannot be entered for any reason are considered exceptions. They are held in suspense until all discrepancies are resolved and a UPIN is assigned. Validate all exception codes received from the Registry. The exception message "needs validation" means the required field is missing information, requires verification, information has been changed or the information is not consistent with other fields.

Each exception contains a specific code in Field 37. Five (5) data elements of three digits (characters) have been assigned. The three digit codes are:

First digit: 0 or 9 used for internal processing at the Registry. Second & third digit: Field Number of your record.

Exception Code and Cause

001	Record Code missing or needs validation
002	Record Status Code needs validation
003	Last Name needs validation
004	First Name needs validation
005	Middle Name/Initial needs validation
006	Name Suffix, e.g., "JR.", needs validation
007	Billing Address needs validation
008	City of Billing Address needs validation
009	State of Billing needs validation
010	ZIP Code of Billing Address needs validation
011	Business Street Address needs validation
012	City of Business Address needs validation
013	State of Business needs validation
014	ZIP Code of Business Address needs validation
015	State Licensed in needs validation
016	State License/Registration number needs validation
017	Date of Birth needs validation
018	School Graduated needs validation
019	School Year Graduated needs validation

020	Date of Death needs validation
021	Credentials, e.g., "MD", needs validation
022	Primary Specialty Code needs validation
023	Primary Board Certification needs validation
024	Secondary Specialty Code needs validation
025	Secondary Board Certification needs validation
026	Type of Sanction Code needs validation
027	Effective Date of Sanction needs validation
028	Sanction years needs validation
029	Deactivate/Resident/Intern Practice Code needs validation
030	Group Practice Indicator needs validation
031	Physician/Health Care Practitioner Participation Indicator needs validation
032	Social Security Number needs validation
033	Provider Number needs validation
034	UPIN is missing or needs validation
035	Transamerica (TA) number needs validation
036	Incoming "H" number needs validation
038	Record State Licensure Validation Field needs validation
039	Special Processing Indicator missing or needs validation

Submit corrected records as a batch.

Add Exceptions

Returned Add records are identified by:

- Record Code 2 in Field 1;

- No UPIN in Field 34;
- TOLIC's Number in Field 35; and
- Error Code (s) identified in Field 37.

Provide on the resubmitted record:

- Record Code 2 in Field 1;
- TOLIC's number in Field 35;
- Correct or validate all Fields identified in Error Code Field 37; and
- All other data elements for the specific UPIN record including the revised information in the appropriate field.

OPL 119	General Instructions
Attachment A	Accessing Files from HDC
Attachment B	Record Layout
Attachment C	Submission Instructions
Attachment D	Exception Codes